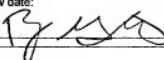


## CERTIFICATE OF EFS FILING UNDER 37 CFR §1.8

I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office, Commissioner for Patents, via the EFS pursuant to 37 CFR §1.8 on the below date:

Date: October 8, 2010 Name: Ryan Gieitz Reg. No. 62,164

Signature: 

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: James Farrell et al.

Appln. No.: 10/713,126

Filed: November 14, 2003

For: SYSTEM AND METHOD FOR  
CONTROLLING MARKETS DURING A  
STOP LOSS TRIGGER

Attorney Docket No.: 4672/310

Examiner: Weis, Samuel

Art Unit: 3695

Conf. No.: 9585

## TRANSMITTAL

Mail Stop Amendment  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

## Attached is/are:

- Fourth Supplemental Information Disclosure Statement; Form PTO-1449 with required references.

## Fee calculation:

- No additional fee is required.  
 Small Entity.  
 An extension fee in an amount of \$\_\_\_\_ for a \_\_\_\_-month extension of time under 37 CFR § 1.136(a).  
 A petition or processing fee in an amount of \$\_\_\_\_ under 37 CFR §\_\_\_\_.  
 An additional filing fee has been calculated as shown below:

	Claims Remaining After Amendment	Highest No. Previously Paid For	Present Extra	Small Entity		Not a Small Entity		
Total	Minus			Rate	Add'l Fee	OR	Rate	Add'l Fee
Indep.	Minus			x \$26=			x \$52=	
First Presentation of Multiple Dep. Claim				x 110=			x \$220=	
				+\$195=			+\$390=	
				Total	\$		Total	\$

## Fee payment:

- Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_.  
 Payment by credit card in the amount of \$\_\_\_\_\_. (Form PTO-2038 is attached).  
 The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

  
 Ryan Gieitz (Reg. No. 62,164)

October 8, 2010  
Date